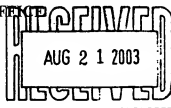




Patent Application

Attorney Docket No. DEM1P001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In the Patent Application of: **NEAL et al.**

Serial No. : **09/741,958**

Art Unit: 2623

Filed: **December 20, 2000**

Examiner: Robinson Boyce, Aletha K.

For: **PRICE OPTIMIZATION SYSTEM**

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Mail Stop: Non-Fee Amendment
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August 15, 2003

Signed: _____

Kang S. Lim

Dear Sirs:

INFORMATION DISCLOSURE STATEMENT FILED
UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the Examiner's attention in the referenced application.

Citation of the above documents shall not be construed as an admission that the documents are necessarily prior art with respect to the referenced application. Furthermore, citation of the above documents shall not be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

 X 37 C.F.R. § 1.97(b). This Information Disclosure Statement is: (i) filed within three (3)

months of the filing date of the above-referenced application, (ii) believed to be filed before the mailing date of a first Office Action on the merits or, (iii) believed to be filed before the mailing of a first Office Action after the filing of a Request for Continued Examination under §1.114. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

- 37 C.F.R. § 1.97(c). This Information Disclosure Statement is filed after the period specified in C.F.R § 1.97(b), but before the mailing date of either (i) a final action under § 1.113 or, (ii) a notice of allowance under § 1.311.
- A certification pursuant to 37 C.F.R. §1.97(e) or
- A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198.

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Respectfully submitted,



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PATENT TRADEMARK OFFICE



U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. DEM1P001	SERIAL NO. 09/741,958
	APPLICANT NEAL	
	FILING DATE 12/20/00	GROUP 3623

LIST OF DOCUMENTS CITED BY APPLICANT
TO COMPLY WITH 37 C.F.R. 1.56

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/A.R./	AA	6,025,686	05/18/2000	Fernandez et al.			
/A.R./	AB	6,173,345	01/09/2001	William A. Stevens			

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/A.R./	BA	WO 98/53415	11/26/1998	Ouimet et al.				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

/A.R./	CA	"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.						
/A.R./	CB	YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).						

EXAMINER /Akiba Robinson Boyce/	DATE CONSIDERED 07/08/2008
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.